

**CERTIFICATE OF TRANSMISSION**

I hereby certify that this correspondence is being electronically transmitted to the United States Patent and Trademark Office, Commissioner for Patents, via the EFS pursuant to 37 CFR § 1.8, on May 9, 2008.

/Raymond W. Green/  
Raymond W. Green (Reg. No. 24,587)  
Registered Representative

Date of Signature: May 9, 2008

**BRINKS  
HOFFER  
GILSON  
& LIONE**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Appln. of: Valery A. Petrushin

Appln. No.: 09/833,301

Filed: April 10, 2001

For: DETECTING EMOTION IN VOICE SIGNALS IN A CALL CENTER

Docket No: 10022-151

Examiner: Benny Quoc Tieu

Art Unit: 2642

Conf. No.: 2957

**TRANSMITTAL**

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Attached is/are:**

☒ Submission to Complete Record (11p);

**Fee Calculation:**

☒ No additional fee is required.

☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 CFR § 1.136(a).

☐ An additional filing fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Small Entity		OR	Not a Small Entity	
					Rate	Add'l Fee		Rate	Add'l Fee
Total		Minus			x \$25=			x \$50=	
Indep.		Minus			x 105=			x \$210=	
First Presentation of Multiple Dep. Claim					+\$185=			+ \$370=	
					Total	\$		Total	\$

**Fee Payment:**

☐ A check in the amount of \$\_\_\_\_\_ is enclosed.

☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_ for \_\_\_\_\_.  
A copy of this Transmittal is enclosed for this purpose.

☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925. A copy of this Transmittal is enclosed for this purpose.

Respectfully submitted,

May 9, 2008  
Date

/Raymond W. Green/  
Raymond W. Green (Reg. No. 24,587)

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& LIONE**

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Raymond W. Green (Reg. No. 24,587)  
Registered Representative

Date of Signature: May 9, 2008

**PATENT**  
Case 10022-151

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant:	Valery A. Petrushin	:	Confirmation No. :	2957
		:		
Serial No.:	09/833,301	:	Group Art Unit:	2642
		:		
Filed:	April 10, 2001	:		
		:	Examiner:	
For:	DETECTING EMOTION IN VOICE	:	Benny Quoc Tieu	
	SIGNALS IN A CALL CENTER	:		

**SUBMISSION TO COMPLETE RECORD**

COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In reviewing the file of this Application recently, it was noted that an Information Disclosure Statement was filed July 30, 2001 (with certificate of mailing July 26, 2001, and Forms PTO-1449 listing the references cited in the IDS); and that the filing of the IDS is recorded in the Transaction History on PAIR under the date of July 30, 2001; but that no copies of the IDS or of the Forms PTO-1449 listing the references cited in the IDS appear to be of record in the Image File Wrapper of the Application.

Further, the Forms PTO-1449 listing the references cited in the IDS were initialed "JW", dated "12/15/03", and signed by the Examiner to whom the Application was then assigned (James S. Wozniak), and copies of the signed Forms PTO-1449 listing the references cited in the IDS were enclosed with the next Office Action in the Application (mailed December 24, 2003), but no copies of the initialed, dated and signed Forms PTO-1449 appear to be of record in the Image File Wrapper of the Application.

Appl. No. 09/833,301  
Submission Dated May 9, 2008

Moreover, the Office Action mailed December 24, 2003, enclosed a Form PTO-892 listing two additional references considered by the Examiner, but no copy of the Form PTO-892 appears to be of record in the Image File Wrapper of the Application.

Accordingly, in order to complete the record of this Application, enclosed herewith are copies of (1) the Information Disclosure Statement filed July 30, 2001; (2) the Forms PTO-1449 listing the references cited in the IDS; (3) the initialed, dated and signed Forms PTO-1449; and (4) the Form PTO-892.

It is requested that these be entered in the Image File Wrapper of the Application.

Respectfully submitted,

/Raymond W. Green/  
Raymond W. Green  
Registration No. 24,587

BRINKS HOFER GILSON & LIONE  
P. O. Box 10395  
Chicago, Illinois 60610  
312-321-4222

May 9, 2008

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope, with sufficient postage, addressed to: Commissioner for Patents, Washington, D.C. 20231, on

26 July 2001  
Date of Deposit

David W. Okey, Reg. No. 42,959  
Name of Applicant, Assignee or  
Registered Representative

David W. Okey  
Signature

26 July 2001  
Date of Signature

Our Case No.: 10022/151

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Valery A. Petrushin

Serial No.: 09/833,301

Filing Date: April 10, 2001

For: System, Method and Article of  
Manufacture for Detecting Emotion  
in Voice Signals by Utilizing  
Statistics for Voice Signal Parameters

Examiner: N/A

Group Art Unit No.: 2641

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and

made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

#### U.S. Patent Documents

Document No.	Date	Inventor
3,691,652	09/1972	Clynes
3,855,416	12/1974	Fuller
3,971,034	07/1976	Bell, Jr. et al.
4,093,821	06/1978	Williamson
4,142,067	02/1979	Williamson
4,216,594	08/1980	Farley et al.
4,472,833	09/1984	Turrell et al.
4,490,840	12/1984	Jones
4,592,086	05/1986	Watari et al.
4,602,129	07/1986	Matthews et al.
4,696,038	09/1987	Doddington et al.
4,931,934	06/1990	Snyder
4,996,704	02/1991	Brunson
5,163,083	11/1992	Dowden et al.
5,410,739	04/1995	Hart
5,461,697	10/1995	Nishimura et al.
5,495,553	02/1996	Jakatdar
5,539,861	07/1996	DeSimone
5,647,834	07/1997	Ron
5,666,400	09/1997	McAllister et al.
5,704,007	12/1997	Cecys
5,734,794	03/1998	White
5,774,591	06/1998	Black et al.
5,774,859	06/1998	Houser et al.
5,812,977	09/1998	Douglas
5,860,064	01/1999	Henton
5,884,247	03/1999	Christy
5,893,057	04/1999	Fujimoto et al.
5,897,616	04/1999	Kanevsky et al.
5,903,870	05/1999	Kaufman
5,909,665	06/1999	Kato
5,913,196	06/1999	Talmor et al.
5,936,515	08/1999	Right et al.
5,987,415	11/1999	Breese et al.
6,006,188	12/1999	Bogdashevsky et al.
6,151,571	11/2000	Pertrushin

### Foreign Patent Documents

DOCUMENT NUMBER	DATE	COUNTRY
WO 87/02491	04/1987	PCT
WO 98/03941	01/1998	PCT
WO 98/10412	03/1998	PCT
WO 98/15924	04/1998	PCT
WO 98/23062	05/1998	PCT
WO 99/22364	05/1999	PCT
WO 99/31653	06/1999	PCT
WO 00/62279	10/2000	PCT

### Other Art

Bourjot, C., et al., "Phonetic Decoder Assessment," Eurospeech89, European Conference on Speech Communication and Technology, Vol. Two, September 1989, pgs. 457-460.

Campbell, Jr., Joseph P., et al., "Government Applications and Operations," Biometric Consortium; <http://www.biometrics.org/REPORTS/CTSTG96>.

Chiu, C.C., et al., "The Analysis and Recognition of Human Vocal Emotions," Proceedings of International Computer Symposium 1994, December 1994, pgs. 83-88.

Dallaert, Frank, et al., "Recognizing Emotion in Speech," 1996, ICSLP 96, Proceedings, Fourth International Conference on Spoken Language, Vol. 3, pgs. 1970-1973.

Hays, Ronald J., "INS Passenger Accelerated Service System (INSPASS)," Biometric Consortium; <http://www.biometrics.org/REPORTS/INSASS.html>.

Jimenez-Fernandez, Alfonso, et al., "Pattern Recognition in the Vocal Expression of Emotional Categories," IEEE, Ninth Annual Conference of the Engineering in Medicine and Biology Society, 1987, pgs. 2090-2091.

Mayer, David L., et al., "Development of a Speech Analysis Protocol for Accident Investigation," abstract and Proceedings of the 38<sup>th</sup> Annual Meeting of the Human Factors and Ergonomic Society, Vol. 1, 24-28 October 1994, pgs. 124-127.

Moriyama, Tsuyoshi, et al., "Emotion Recognition and Synthesis System on Speech," IEEE, 1999, pgs. 840-844.

Oliver, Gina M., "A Study of the Use of Biometrics as it Relates to Personal Privacy Concerns," 1999, <http://nile.ed.umuc.edu/~jmeinke/inss690/oliver/Oliver-690.html>.

Slaney, Malcolm, et al., "Baby Ears: A Recognition System for Affective Vocalizations," IEEE, 1998, pgs. 985-988.

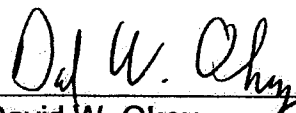
Yamada, Toyotoshi, et al., "Pattern recognition of emotion with Neural Network," IEEE, 1995, pgs. 183-187.

In accordance with 37 C.F.R. § 1.97(g), (h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

Respectfully submitted,



David W. Okey  
Registration No. 42,959  
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE  
P.O. Box 10395  
Chicago, IL 60610  
(312) 321-4200

FORM PTO-1449	SERIAL NO. 09/833,301	CASE NO. 10022/151
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE April 10, 2001	GROUP ART UNIT 2641
(use several sheets if necessary)		APPLICANT(S): Valery A. Petrushin

**REFERENCE DESIGNATION**
**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	3,691,652	09/1972	Clynes		
	A2	3,855,416	12/1974	Fuller		
	A3	3,971,034	07/1976	Bell, Jr. et al.		
	A4	4,093,821	06/1978	Williamson		
	A5	4,142,067	02/1979	Williamson		
	A6	4,216,594	08/1980	Farley et al.		
	A7	4,472,833	09/1984	Turrell et al.		
	A8	4,490,840	12/1984	Jones		
	A9	4,592,086	05/1986	Watari et al.		
	A10	4,602,129	07/1986	Matthews et al.		
	A11	4,696,038	09/1987	Doddington et al.		
	A12	4,931,934	06/1990	Snyder		
	A13	4,996,704	02/1991	Brunson		
	A14	5,163,083	11/1992	Dowden et al.		
	A15	5,410,739	04/1995	Hart		
	A16	5,461,697	10/1995	Nishimura et al.		
	A17	5,495,553	02/1996	Jakatdar		
	A18	5,539,861	07/1996	DeSimone		
	A19	5,647,834	07/1997	Ron		
	A20	5,666,400	09/1997	McAllister et al.		
	A21	5,704,007	12/1997	Cecys		
	A22	5,734,794	03/1998	White		
	A23	5,774,591	06/1998	Black et al.		
	A24	5,774,859	06/1998	Houser et al.		
	A25	5,812,977	09/1998	Douglas		
	A26	5,860,064	01/1999	Henton		
	A27	5,884,247	03/1999	Christy		
	A28	5,893,057	04/1999	Fujimoto et al.		
	A29	5,897,616	04/1999	Kanevsky et al.		
	A30	5,903,870	05/1999	Kaufman		
	A31	5,909,665	06/1999	Kato		
	A32	5,913,196	06/1999	Talmor et al.		
	A33	5,936,515	08/1999	Right et al.		
	A34	5,987,415	11/1999	Breese et al.		
	A35	6,006,188	12/1999	Bogdashevsky et al.		
	A36	6,151,571	11/2000	Petrushin		

EXAMINER	DATE CONSIDERED
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES	NO
	A37	WO 87/02491	04/1987	PCT			
	A38	WO 98/03941	01/1998	PCT			
	A39	WO 98/10412	03/1998	PCT			
	A40	WO 98/15924	04/1998	PCT			
	A41	WO 98/23062	05/1998	PCT			
	A42	WO 99/22364	05/1999	PCT			
	A43	WO 99/31653	06/1999	PCT			
	A44	WO 00/62279	10/2000	PCT			

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	A45	Bourjot, C., et al., "Phonetic Decoder Assessment," Eurospeech89, European Conference on Speech Communication and Technology, Vol. Two, September 1989, pgs. 457-460.
	A46	Campbell, Jr., Joseph P., et al., "Government Applications and Operations," Biometric Consortium; <a href="http://www.biometrics.org/REPORTS/CTSTG96">http://www.biometrics.org/REPORTS/CTSTG96</a> .
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	A55	Yamada, Toyotoshi, et al., "Pattern recognition of emotion with Neural Network," IEEE, 1995, pgs. 183-187.

EXAMINER	DATE CONSIDERED
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JW	A4	4,093,821	06/1978	Williamson		
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JW	A7	4,472,833	09/1984	Turrell et al.		
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JW	A14	5,163,083	11/1992	Dowden et al.		
JW	A15	5,410,739	04/1995	Hart		
JW	A16	5,461,697	10/1995	Nishimura et al.		
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JW	A26	5,860,064	01/1999	Henton		
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JW	A31	5,909,665	06/1999	Kato		
JW	A32	5,913,196	06/1999	Talmor et al.		
JW	A33	5,936,515	08/1999	Right et al.		
JW	A34	5,987,415	11/1999	Breese et al.		
JW	A35	6,006,188	12/1999	Bogdashevsky et al.		
JW	A36	6,151,571	11/2000	Petrushin		

RECEIVED  
JUL 31 2001  
Technology Center 2600

EXAMINER <i>JW D. G. [Signature]</i>	DATE CONSIDERED 12/15/03
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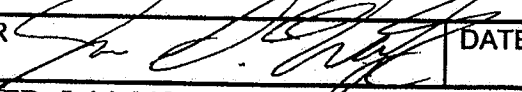
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JW	A42	WO 99/22364	05/1999	PCT		
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JW	A46	Campbell, Jr., Joseph P., et al., "Government Applications and Operations," Biometric Consortium; <a href="http://www.biometrics.org/REPORTS/CTSTG96">http://www.biometrics.org/REPORTS/CTSTG96</a> .
JW	A47	Chiu, C.C., et al., "The Analysis and Recognition of Human Vocal Emotions," Proceedings of International Computer Symposium 1994, December 1994, pgs. 83-88.
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JW	A50	Jimenez-Fernandez, Alfonso, et al., "Pattern Recognition in the Vocal Expression of Emotional Categories," IEEE, Ninth Annual Conference of the Engineering in Medicine and Biology Society, 1987, pgs. 2090-2091.
JW	A51	Mayer, David L., et al., "Development of a Speech Analysis Protocol for Accident Investigation," abstract and Proceedings of the 38 <sup>th</sup> Annual Meeting of the Human Factors and Ergonomic Society, Vol. 1, 24-28 October 1994, pgs. 124-127.
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JW	A53	Oliver, Gina M., "A Study of the Use of Biometrics as it Relates to Personal Privacy Concerns," 1999, <a href="http://nile.ed.umuc.edu/~jmeinke/inss690/oliver/Oliver-690.html">http://nile.ed.umuc.edu/~jmeinke/inss690/oliver/Oliver-690.html</a> .
JW	A54	Slaney, Malcolm, et al., "Baby Ears: A Recognition System for Affective Vocalizations," IEEE, 1998, pgs. 985-988.
JW	A55	Yamada, Toyotoshi, et al., "Pattern recognition of emotion with Neural Network," IEEE, 1995, pgs. 183-187.

EXAMINER 	DATE CONSIDERED 12/15/03
--	--------------------------

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**Notice of References Cited**

Application/Control No.

09/833,301

Applicant(s)/Patent Under  
Reexamination  
PETRUSHIN, VALERY A.

Examiner

James S. Wozniak

Art Unit

2655

Page 1 of 1

**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	A	US-			
	B	US-			
	C	US-			
	D	US-			
	E	US-			
	F	US-			
	G	US-			
	H	US-			
	I	US-			
	J	US-			
	K	US-			
	L	US-			
	M	US-			

**FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
	N					
	O					
	P					
	Q					
	R					
	S					
	T					

**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	"Speech Based Automatic Lie Detection"; Gadallah, M.E.; Matar, M.A.; Algezawi, A.F.; Radio Science Conference, 1999. NRSC '99. Proceedings of the Sixteenth National , 23-25 Feb. 1999 Page(s): C33/1 -C33/8
	V	"The Perceptual Importance of Selected Voice Quality Parameters"; Klasmeyer, G.; Acoustics, Speech, and Signal Processing, 1997. ICASSP-97., 1997 IEEE International Conference on, Volume: 3 , 21-24 April 1997 Page(s): 1615 -1618 vol.3
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\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
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